Agency Implementation of Unique Entity Identifier (UEI)

Agency Panelists

- **USDA**: Tyson Whitney

- **NIH**: Kasima Garst, Michael Martin, Laurie Roman

- **NSF**: Avi Tembulkar

Unique Entity Identifier

September, 2021

Topics

1. Overview

2. Background

3. Inventory

4. Readiness

5. Next Steps

6. Questions?

USDA

Overview

- Unique Entity identifier (UEI) Implementation

- UEI used to validate and identify recipients of financial assistance and contracts at SAM.gov.

  - Office of the Chief Financial Officer (OCFO) memorandum with data call for systems inventory

  - Office of Management and Budget UEI working group efforts

  - Tight implementation timeframe

  - Unfunded mandate.

  - Contingency plan(s)

USDA

Background

- **2 C.F.R. Part 25, 2 C.F.R. Part 200** and **F.A.R. 52.204-6** require a universal identifier for all applicants and recipients of agency awards/ subawards.

- Beginning in 12/29/2020, entities will no longer need to get a DUNS before registering in SAM.gov. A UEI will be assigned by GSA to each entity that registers at SAM.gov or renews a current registration.

- UEI will be 12 characters (alpha numeric).

USDA

Background - Federal

- A governmentwide OMB-led workgroup was established to implement the UEI.

- The Federal government will adopt UEI by April 2022.

- The General Services Administration (GSA) released the UEI Standard 7/10/2019. Final Application Interface Protocols: December 2019.

- The UEI will replace the Dun & Bradstreet DATA Universal Numbering System (DUNS) which will be phased out by December 2020.

USDA

Background - USDA

- The Office of Contracting and Policy will address the Integrated Acquisition System (IAS) system and provide guidance for other USDA procurement systems. The Office of the Chief Financial Officer will address the ezFedGrants award management module and vendor tables in FMMI.

- *USDA Agencies/Staff Offices must implement the UEI in each system, tool and each data collection form that has a DUNS number or needs to have the UEI for reporting purposes.*

USDA

Background - USDA

- USDA posts all notifications for discretionary grants on Grants.gov.

  - Many programs accept application packages outside of Grants.gov.

- USDA will continue to use the Grants.gov forms with DUNS numbers until the cutover in April 2022.

  - *Agencies need more time to complete the UEI cutover.*

Background - Inventory

- UEI changes impact the following:

  - Financial Assistance Systems

  - Interfaces between systems

  - Grants Application Forms

- USDA has 16 grant-making agencies and staff offices.

- USDA has about 50 systems/interfaces that currently contain the DUNS and will need to capture the UEI

USDA

Readiness

- USDA is UEI-ready for in terms of the financial system (FMMI) and the ezFedGrants grant system and Data Act Reporting. Agencies that use ezFedGrants:
  - Foreign Agricultural Service (FAS),
  - National Institute of Food and Agriculture (NIFA),
  - Animal and Plant Health Inspection Service (APHIS),
  - Agricultural Marketing Service (AMS),
  - Natural Resources Conservation Resources (NRCS), and
  - The Office of Partnerships and Public Service (OPPE).
- Regular briefings have taken place for USDA Agencies system implementation. They are preparing to be compliant by April 2022 and all indication are they will be ready.
- **Exception: Rural Development.**

USDA

Readiness

- Rural Development is working on a manual solution until such time as they can comply.
- Farm Service Agency (FSA) has DUNS/UEI exemptions for all Conservation programs but will be compliant for those programs that are not exempt.
  - Much of FSA reporting is done to protect Personally Identifiable Information; UEI will not be reported.

USDA

Readiness

- There are no risks from the perspective of FMMI and ezFedGrants implementation for UEI as the work has been completed.
- The other Financial Assistance systems and Contract writing systems are on target to comply.
- USDA agencies have been regularly briefed, have attended SAM UEI meetings and are in the process of complying. To some extent, they are reliant on the FMMI solution being implemented before USDA agencies can complete testing on their end.

USDA

Next Steps

- FMMI completes UEI implementation

- EzFedGrants completes implementation

- IAS completes implementation

- Agencies and Staff Offices concurrently work on UEI implementation in their systems and interfaces

USDA

Questions

USDA

Transition from DUNS to UEI: NIH and eRA Implementation

FDP September 2021 Meeting | September 22, 2021 |

Kasima Garst, NIH OPERA/DGSI/SPB

Michael Martin, NIH ERA

Laurie Roman, NIH ERA

NIH IMPLEMENTATION: SYSTEMS POLICY UPDATES

National Institutes of Health
Office of Extramural Research

NIH Implementation

- [NOT-OD-21-170](#)

- Beginning October 2021
  - eRA pulling UEI data for organizations in eRA Commons registered in SAM.gov. No action is required by the entity.
  - Recipients' UEI will be populated on Page One of the Notice of Award.
  - Recipients' UEI will also be transmitted in award data reported to the [HHS Tracking Accountability in Government Grants System (TAGGS)](#) and [USASpending.gov](#).

- Organizations will begin to see their UEI in the eRA Commons IPF early in January 2022.

- For applications due on or after January 25, 2022, applicants must have a UEI at the time of application submission. Application forms and packages required for application submission will be updated to reflect UEI instead of DUNS (FORMS-G).
  - See [NOT-OD-21-169](#) for more information.
  - Note: Entities registering in SAM prior to April 2022 must still obtain a DUNS from Dun and Bradstreet prior to SAM registration.

- DUNS will be maintained in NIH and eRA systems for historical reference.

NOA Page One

Department of Health and Human Services
National Institutes of Health
NIH Institute/Center

Notice of Award
FAIN# XXXXXXXXXXXX
Federal Award Date
XX/XX/XXXX

Recipient Information

1. Recipient Name
Name of Recipient
Address Line 1
Address Line 2
City, State, XXXXX-XXXX

2. Congressional District of Recipient
XX

3. Payment System Identifier (ID)
XX-XXXXXXX

4. Employer Identification Number (EIN)
XX-XXXXXXX

5. Data Universal Numbering System (DUNS)
XX-XXX-XXXX

6. Recipient's Unique Entity Identifier
XXXXXXXXXXXX

7. Project Director or Principal Investigator
Name

Federal Award Information

11. Award Number
XXXXXXXXXXXXX

12. Unique Federal Award Identification Number (FAIN)
XXXXXXXX

13. Statutory Authority
XX XXX XXXX XX XXX

14. Federal Award Project Title
XXXX

15. Assistance Listing Number
XX.XXX

16. Assistance Listing Program Title

FORMS-G

- NOT-OD-21-169; High-level Summary of Form Changes in FORMS-G Application Packages

- Effective for all due dates on or after January 25, 2022

- October 25, 2021: FORMS-G application guide will be posted

- Beginning October 25, 2021: NIH will post FORMS-G application forms packages to all active FOAs

- For a transition period, both FORMS-F and FORMS-G application packages will be active simultaneously. Applicants must choose the appropriate application package for their due date when presented with both FORMS-F and FORMS-G application packages on the same FOA (see table in NOT-OD-21-169).

FORMS-G

- UEI replacing DUNS on all Grants.gov and NIH competing application forms:
    - SF424 (R&R) (v5.0*)
    - SF424 R&R Multi-Project Cover (v4.0*)
    - Project/Performance Site Location(s) (v4.0)
    - SBIR/STTR Information (v3.0*)
    - R&R Budget 5 YR (v3.0*)
    - R&R Budget 10 YR (v3.0*)
    - R&R Subaward Budget Attachment(s) 5 YR (v) (v3.0*)
    - R&R Subaward Budget Attachment(s) 10 YR (v3.0*)
    - R&R Multi-project Budget 10 YR (v3.0*)
    - R&R Multi-project Subaward Budget Attachment(s) 10 YR (v3.0*)
    - PHS 398 Training Budget (v2.0*)
    - PHS 398 Training Subaward Budget Attachment(s) (v3.0*)
    - PHS Additional Indirect Costs (v2.0*)
        - *Forms under development, see Grants.gov Forms Status Report
- UEI replacing DUNS on NIH post-award forms, e.g. RPPR. Final implementation details forthcoming.

ERA IMPLEMENTATION

Electronic Research Administration
A program of the National Institutes of Health

National Institutes of Health
Office of Extramural Research

eRA Approach and Completed Milestones: NIH, AHRQ, FDA, SAMHSA, VA(ORD)

- eRA UEI Approach
  - Any system generated documents, notifications, web pages (UI) that display DUNS will display both DUNS and UEI during the transition period (10/01/2021 – 04/03/2022).
  - DUNS data will be retained for historical purposes
- eRA UEI Milestone Completed CY2020:
  - Deployed key data model changes to support associating a UEI value with a grant application/award and associating one or more UEI values with an organization.
- eRA UEI Milestones Completed CY2021:
  - February, modified eRA process that pulls organization data from SAM.gov to include pulling UEI data.
  - September, populated (backfilled) 10 fiscal years of award data (FY2012 – FY2022) in key data model changes implemented in CY2020.

eRA UEI Milestones Scheduled CY2021

- September
  - FORMS-G FOAs available for testing in UAT.
  - Webservices updated to include UEI.

- October
  - Grants Management system will deploy updated NOA templates with UEI and begin including UEI in TAGGS data submissions.
  - ASSIST and eSubmission system changes for FORMS-G which includes posting application packages that leverage and require UEI for application submissions received on or after January 25, 2022 receipt dates (everything except fellowships and small business).

- November
  - Changes to systems that support reporting including FEDRPTRWEB and FEDRPTRAPI to expose UEI.

eRA UEI Milestones Scheduled CY2021

- December
    - ASSIST and eSubmission system changes for FORMS-G that leverage and require UEI for application submissions for small business and fellowships.
        - NOTE: Non-Research application support for UEI planned for CY2022.
- January
    - IPF will begin to display UEI for organizations registered in SAM.gov.
    - IPF to allow entry/update of UEI and RPPR to include UEI.

Contact Us

OPERA Systems Policy Branch
- OPERAsystemspolicy@nih.gov

eRA Service Desk
- Submit a Web Ticket
  https://public.era.nih.gov/submithelp
- Toll-free: 1-866-504-9552
- Phone: 301-402-7469
- Hours: Mon-Fri, 7 a.m. to 8 p.m. Eastern Time
  (closed on federal holidays)

NIH National Institutes of Health
Office of Extramural Research

eRA Electronic Research Administration
A program of the National Institutes of Health

QUESTIONS?

National Institutes of Health
Office of Extramural Research

Electronic Research Administration
A program of the National Institutes of Health

NSF Unique Entity Identifier (UEI) Implementation

September 2021

UEI Changes by GSA and SAM Registration

GSA Changes
UEI Implementation date: by April 4, 2022
1. DUNS ID will no longer be used to uniquely identify entities 2. Entities will use a SAM.gov-issued Unique Entity Identifier (SAM) 3. SAM.gov-issued UEI will be 12-character alpha-numeric

Benefits	GSA UEI Updates
• Eliminates requirement to obtain UEI from a third-party website • Streamlines the entity registration, identification, and validation process streamlined • Makes it easier and less burdensome for entities to do business with the Federal Government	GSA UEI Updates Page

NSF Unique Entity Identifier (UEI) High-Level Overview

NSF UEI Implementation
NSF UEI Implementation: End of <u>January 2022</u>

1. ***Organization Registration on Research.gov:***
   A. SAM.gov-issued UEI required
   B. DUNS ID will no longer be used or displayed
   C. Between January and April 4, 2022, users must still obtain DUNS ID and SAM.gov-issued UEI for SAM registration, per SAM requirements
2. ***Organization Information Updates***
3. ***Research.gov & FastLane Display Changes:***
   A. Proposal Preparation (Research.gov & FastLane)
   B. Award Notices
   C. Reporting
   D. Award Search

Organization Information Update Changes
Name & Address Updates

As of end of January 2022:

- SAM Legal Business Name and SAM Physical Address changes must be made on SAM.gov
- NSF organization information will be *synched daily* with SAM.gov databases
- Organization information changes for physical address will no longer be allowed through the FastLane Organization Update (at right).

NSF Organization Name & SAM Legal Business Name

- Compliance: Displaying SAM Legal Business Name and SAM Physical Address will align NSF with SAM data standards and policies
- To decrease potential confusion (see SUNY example to the right), NSF Organization Name will be displayed alongside the SAM Legal Business Name.

NSF Organization Name	SAM Legal Business Name
SUNY at Albany	RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NEW YORK, THE
SUNY at Binghamton	RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NEW YORK, THE
SUNY at Buffalo	RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NEW YORK, THE
SUNY College at Brockport	RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NEW YORK, THE
SUNY College at Buffalo	RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NEW YORK, THE
SUNY College at Fredonia	RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NEW YORK, THE
SUNY College at Geneseo	RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NEW YORK, THE
SUNY College at Old Westbury	RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NEW YORK, THE

NSF Impacts and Display Changes

1. DUNS-to-UEI display & transition:
   A. SAM.gov-issued Unique Entity Identifier will be displayed as: Unique Entity Identifier (UEI) or UEI
2. SAM Legal Business Name to be displayed alongside NSF Organization Name
3. SAM Physical Address will be address of record for organizations registered with NSF
4. DUNS+4 (DUNS Qualifier) will be renamed EFT Indicator

NSF Sample Changes to Research.gov User Interface (NOTIONAL)

NSF – Sample Changes to Role Management Page (Research.gov)

SAM Legal Business Name added in the Review Fields

NSF Proposal Cover Sheet (Proposal Submission)

Page updates:
- DUNS-to-UEI update
- NSF Organization Name will be displayed in "Name of Primary Place of Perf" unless PPOP is updated by end user
- SAM Legal Business Name will be displayed in "Name of Organization to which Award should be made" field
- SAM physical address to be displayed in "Address of Awardee Organization" field

NSF Award Notice (Research.gov or FastLane)

- DUNS-to-UEI
- SAM Legal Business Name will replace Award Recipient Fields.
- NSF Organization name will be retained in "Institution" field
- Institution will be changed to Organization as a field label

AWARDEE INFORMATION

Award Recipient: The Research Foundation of SUNY, College at Old Westbury
Awardee Address:
Official Awardee Email Address
Unique Entity Identifier (DUNS ID): 152606729

PROJECT PERSONNEL

Principal Investigator: **Email:**   **Institution:** SUNY College at Old Westbury

COLLABORATIVE INFORMATION

Proposal ID	Lead	PI Name	Institution
	Y		Virginia Polytechnic Institute and State University
	N		The Research Foundation of SUNY, College at Old Westbury

NSF Reporting – RPPR (Research.gov)

SAM Legal Business Name will be displayed alongside Organization

NSF Award Search

DUNS-to-UEI
Address will reflect SAM
Physical Address for
Awardee

Recent Awards

Presidential and
Honorary Awards

About Awards

**How to Manage Your
Award**

Grant General
Conditions

Cooperative Agreement
Conditions

Special Conditions

Federal Demonstration
Partnership

Policy Office Website

Awardee:	RESEARCH FOUNDATION FOR THE STATE UNIVERSITY OF NEW YORK, THE
Initial Amendment Date:	August 10, 2020
Latest Amendment Date:	August 10, 2020
Award Number:	2011731
Award Instrument:	Standard Grant
Program Manager:	Hans Krimm hkrimm@nsf.gov (703)292-2761 AST Division Of Astronomical Sciences MPS Direct For Mathematical & Physical Scien
Start Date:	September 1, 2020
End Date:	August 31, 2023 (Estimated)
Awardee Sponsored Research Office:	SUNY College at Old Westbury BOX 210 Old Westbury NY US 11568-0210 (516)876-3125
Sponsor Congressional District:	03
Primary Place of Performance:	SUNY College at Old Westbury BOX 210 Old Westbury NY US 11568-0210
Primary Place of Performance Congressional District:	03
DUNS ID:	152606729
Parent DUNS ID:	020657151

Questions?

Questions for Panelists?